

# Jeopardy Procedures

## 602 NPA

### (Arizona)

## Extraordinary Code Conservation Measures

*with every code request for this NPA, per the Arizona Corporation Commission Decision No. 59311 (rendered 10/2/95), Docket No. E-1051-95-259, Findings of Fact, Paragraph 18f, viii. However, the Months-to-Exhaust needs to be for a six month period only.*

### 10) Suspension of Requests

- a) Part 1 Code Requests that have incomplete or inaccurate data will be suspended.*
- b) Suspended requests will be ineligible to participate in the monthly code rationing process until complete and accurate data is provided.*
  - i) The rationing month for which such requests will be eligible will be depend upon whether the required data is received by the submission deadline for that month.*
  - ii) If the required data is received after cutoff for the July 1999 allocation/lottery, the request will be processed according to normal (non-jeopardy) procedures.*

### 11) Denial of Requests

- a) If an OCN submits more than three (3) code requests for any given month code rationing process, the "additional" request(s) will be denied. (See "Number of Requests That May Be Submitted.")
- b) If the requested effective date is outside the allowable timeframe, the request will be denied. (See "Requested Effective Date.")
- c) If a request to reserve an NXX code is received before the allowed reservation submission date, the request will be denied. (See "Reservation of Codes.")
- d) If the code applicant is not authorized/certified to provide service in the state/NPA, the

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request will be denied. (See "Eligibility Requirements.")

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**12) Code Rationing Process**

<b>Table E</b> <b>Overview of the Code Rationing Process</b> <b>(Based on Total Requests)</b>		
<b>Total number of <u>eligible requests</u> received by the submission deadline</b>	<b>Available codes will be rationed in the following manner</b>	<b>Effect upon the following month's code rationing process</b>
<b>Equal To</b> the total number of codes available for assignment that month (Note 1)	Each request receives a code assignment (Note 2)	No effect
<b>Less Than</b> the total number of codes available for assignment that month (Note 1)	Each request receives a code assignment (Note 2)	Remaining quantity of codes will carryover to the following month
<b>Greater Than</b> the total number of codes available for assignment that month (Note 1)	Assignments made according to "Code Allocation Procedure"	Depends on the results of the current month's code allocation procedure

Note 1: Total codes available for assignment in any given month is equal to the monthly code allotment plus any carryover from the preceding month(s) rationing process.

Note 2: If code allocation procedures are not required, then codes will be assigned by the 10<sup>th</sup> business day after the "submission deadline." (Refer to "Deadline for Submission of Requests" section.)

**13) Code Rationing Versus Code Allocation**

- a) The terms "Code Rationing" and "Code Allocation" as used in these jeopardy procedures both refer to extraordinary code conservation measures in a declared jeopardy NPA(s).
- b) The term "***Code Rationing***" refers to a situation in which there is specified ***limit on the number of codes that may be assigned in any given month.***
- c) The term "***Code Allocation***" refers to the ***means of determining which code requests will receive a CO code assignment in any given month.*** Lottery is one method of allocation.

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**14) Governing Principles for Code Allocation**

- a) *The basic rule for code allocation is as follows:  
In any given month, each OCN submitting an eligible request will receive one code before any OCN receives two codes and each OCN submitting eligible requests for more than one code will each receive two codes before any OCN receives three codes.*
- b) *Code allocation will be required whenever:  
The total number of eligible requests received by the submission deadline is greater than the total number of codes available for assignment for that rationing month (base allotment plus any preceding month carryover).*
- c) *CO code assignment via code allocation will be based on:  
The number of applicants (i.e., OCNs) that have submitted eligible requests.*
- d) *To be eligible for inclusion in any given month's code allocation procedure:  
A code assignment request must meet all Eligibility Requirements by that month's submission deadline.*

**15) Allocation/Lottery Date**

- a) *When required, code allocation/lottery will take place on the 12-business day of the month ("code allocation day").*  
  
*Details of the code allocation procedure for each of the four possible scenarios are provided on the following pages.*

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**16) Code Allocation Procedure**

- a) If the number of eligible code requests received by the submission deadline of any given month is greater than the total number of codes available that month, codes will be assigned based on a code allocation procedure. (See Table below.)*
- b) Code allocation will be based on the total number of OCNs submitting eligible requests, NOT the number of requests.*
- c) OCNs that do not receive a code will receive a priority number.*
- i) Priority numbers are tracked each month on a “code waiting list.”*
- ii) A priority number establishes the relative position of an OCN’s request on the “code waiting list.”*
- iii) A priority number entitles an OCN to be given a code before any new requests receive a code assignment.*

<b>Table F</b> <b>Overview of Code Allocation Procedure</b> <b>(Based on Number of OCNs)</b>				
<b>Total number of OCNs submitting eligible requests</b>	<b>Is any OCN requesting two or more codes?</b>	<b>This is how codes will be allocated</b>	<b>What happens if an OCN submitted more than one request?</b>	<b>Effect upon next month's rationing</b>
<b>OCNs Equal To available codes (Scenario 1)</b>	Doesn't Matter	Each OCN will receive one code	2 <sup>nd</sup> and 3 <sup>rd</sup> code requests will be denied	No effect
<b>Fewer OCNs than codes</b>	No (Scenario 2)	Each OCN will receive one code	(not applicable)	Unassigned quantity will carryover
	Yes (Scenario 3)	Each OCN will receive one code	See description of Scenario 3 (“Multiple Requests per OCN”)	Depends on results of allocation process
<b>More OCNs than available codes (Scenario 4)</b>	Doesn't Matter	Based on Lottery results	See description of Scenario 4 (“Lottery Process”)	Depends on lottery results

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**17) Code Allocation–Scenario 1: Requests Equal Codes**

- a) This allocation applies whenever the *number of OCNs* submitting eligible requests is *equal to the number of codes available* for assignment in any give month (“code allotment” plus any “carryover”)
- b) Each of the applicants (companies/entities/OCNs) will receive one code.
- c) *For applicants submitting more than one request, this assignment will be to the request designated by the applicant as 1<sup>st</sup> choice.*
- d) *Requests designated by any OCN as 2<sup>nd</sup> and 3<sup>rd</sup> choice will be denied.*

**18) Code Allocation–Scenario 2: Fewer Requests Than Codes**

- a) When the *number of applicants and/or eligible requests* submitted is *less than the number of codes available* for assignment in any give month (“code allotment” plus any “carryover”) *provided that each applicant has requested only one code.*
- b) *Each of the applicants (companies/entities/OCNs) will receive one code.*
- c) *The difference between the total number of codes available for assignment in the current month and the number of codes assigned will be carried over and added to the subsequent month’s code allotment (“carryover”).*

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**19) Code Allocation—Scenario 3: Multiple Requests per OCN**

- a) This code allocation will be conducted whenever all 3 of the following conditions exist:*
- i) The total number of eligible requests in any given month is greater than the total number of codes available for assignment in that month.
  - ii) The number of individual OCNs submitting those eligible requests is less than the total number of codes available for assignment.
  - iii) One or more OCNs have eligible requests for more than one code that month.
- b) Each applicant will receive at least one code.*
- i) If the applicant has a priority number, the assignment will be to that request.
  - ii) For applicants submitting new requests for more than one code, the assignment will be to the request designated by the applicant as 1<sup>st</sup> choice.)
- c) Assignment of a second code will be made in the following manner:*
- i) **If the number of codes remaining is equal to the number of applicants submitting eligible 2<sup>nd</sup> code requests:**
    - (1) Each applicant requesting a second code will receive one for their 2<sup>nd</sup> choice request.
    - (2) All requests for a 3<sup>rd</sup> code assignment will be denied.
  - ii) **If the number of codes remaining is less than the number of applicants submitting eligible 2<sup>nd</sup> code requests:**
    - (1) Requests for a 2<sup>nd</sup> code will be placed into a “second code pool.”
    - (2) Requests drawn at random from the “second code pool” will receive a CO code.
    - (3) The assignment will be to the request designated by the applicant as 2<sup>nd</sup> choice.
    - (4) Requests not drawn from the “second code pool” will be denied.
    - (5) All requests for a 3<sup>rd</sup> code assignment will be denied.
  - iii) **If the number of codes remaining is greater than the number of applicants submitting eligible 2<sup>nd</sup> code requests and there are no requests for a 3<sup>rd</sup> code:**
    - (1) Each applicant requesting a second code will receive an assignment for their 2<sup>nd</sup> choice request.
    - (2) The difference between the total number of codes available for assignment in the month and the number of codes assigned will carryover to the following month.
  - iv) **If the number of codes remaining is greater than the number of applicants submitting eligible 2<sup>nd</sup> code requests, but there are requests for a 3<sup>rd</sup> code:**

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- (1) Each applicant requesting a second code will receive an assignment for their 2<sup>nd</sup> choice request.
- (2) Requests for a 3<sup>rd</sup> code will be placed into a "third code pool."

***d) Assignment of a third code will be made in the following manner:***

- i) Requests drawn at random from the "third code pool" will receive a CO code.
- ii) The assignment will be to the request designated by the applicant as 3<sup>rd</sup> choice.
- iii) Requests not drawn from the "third code pool" will be denied; they will not receive an NXX and will not receive a priority code.

**20) Code Allocation—Scenario 4: Lottery**

***a) A lottery will be conducted whenever both of the following conditions exist:***

- i) The total number of eligible requests in any given month is greater than the total number of codes available for assignment in that month.
- ii) The number of individual OCNs submitting those eligible requests is also greater than the total number of codes available for assignment.

***b) A maximum of three codes requests per OCN may be entered into the lottery.***

- i) If an OCN has a priority number, that will represent one of the OCN's entries.
- ii) OCNs with one priority number may submit no more than two new requests in any given month until the priority request has received a code assignment.
- iii) OCNs with two priority numbers may enter only one new request in any given month.
- iv) OCNs with three priority numbers may NOT enter any new requests until at least one of the priority number requests has received a code assignment; such requests will be denied.

***c) OCN requests that carry a priority number will be the first to receive a code assignment in the subsequent month(s).***

- i) Priority number requests will be assigned in priority sequence on the 10<sup>th</sup> business day of each month as indicated below.
  - (1) If the total quantity of priority requests does not exceed the number of codes available for assignment that month, then all priority numbers will receive a code assignment.
  - (2) If the total quantity of priority requests exceeds the number of codes available for assignment in that month, then codes will be assigned to



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priority numbers until the monthly code allotment is exhausted.

- (3) Priority numbers that don't receive a code assignment in any given month will be carried over for a code assignment by the 10<sup>th</sup> business day of the following month(s).
- ii) An applicant may have no more than three priority numbers in any given month's rationing process/allocation/lottery.
- iii) The lowest numbered priority request will receive a code assignment before the next higher priority number receives a code.
- iv) If there are insufficient codes available for priority number requests from the preceding month(s), these requests will continue to be held over with their priority number for the subsequent month(s).
- v) Any request receiving a priority number in a subsequent rationing month will be added to the bottom of any existing priority list and in the sequence drawn.
- vi) The fact that there are priority numbers have been assigned, and the total number awaiting code assignment, will be posted on the NANPA Web site ("Bulletin Board"/"Jeopardy Information").

***d) The lottery will be conducted as random drawing in two stages as indicated below:***

- i) Requests drawn in stage one will receive a code assignment.
  - (1) These requests will be drawn, one-at-a-time, equal to the total number of codes available for assignment that month.
  - (2) Codes will be assigned in the order in which the request was drawn.
- ii) Requests drawn in stage two will receive a priority number for the next month's allocation.
  - (1) These requests will be drawn, one-at-a-time, until the remaining number of OCNs with eligible requests has been drawn.
  - (2) Priority numbers will be assigned, low to high, based on the sequence of the draw. (The first OCN drawn received number "one"; the second drawn receives "two"; etc.)

## **21) Code Administrator's Responsibilities**

- a) By the 10<sup>th</sup> business day after a request is received, provide each applicant with feedback regarding the disposition of their request(s):***
  - i) Complete and accurate request -- Suspended until the "allocation/lottery date". (See "Allocation/Lottery Date" section)
  - ii) Incomplete and/or inaccurate request -- Suspended from the current month's code rationing process and why.
  - iii) Ineligible request -- Denied participation in the current month's code

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rationing process and why.

***b) By the 10<sup>th</sup> business day after the "code allocation/lottery day" (See "allocation/Lottery Date"), provide each applicant with the final disposition of their request(s):***

- i) CO code assigned, what the NXX code is and what the code effective date is.
- ii) Priority Number received, what the number is and confirmation of automatic entry into the following month's code rationing process.
- iii) No code/No priority number received.

***c) The NANPA Code Administrator will adjust the requested code effective date, if necessary, to ensure the minimum industry notification interval of 45 calendar days.***

- i) For code assignments that do not require code allocation procedures or lottery, the code effective date must be at least 66 calendar days from the "submission deadline".
- ii) For code assignments made as a result of code allocation procedures or lottery, the code effective date will be no less than 66 calendar days from the "code assignment day".
- iii) If a request receiving a lottery code assignment already reflects an effective date that is at least 66 calendar days after the code assignment/lottery date, the date won't be changed.
- iv) The code effective date, changed or as requested, will be reflected on the Part 3 response sent to the code applicant.

## **22) Certification of Code Activation**

***a) Code holders are required to certify that an assigned NXX code has been placed into service within 6 months after the published effective date.***

***b) Certification of code activation is to be provided to the NANPA CO Code Administrator via the Part 4.<sup>4</sup>***

***c) The Code Administrator will initiate code reclamation procedures if the Part 4 is not received within the industry-established timeframe.***

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<sup>4</sup> Central Office Code (NXX) Assignment Guidelines, INC 95-0407-008, Re-issued September 18, 1998; A blank Part 4 is attached.

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**23) Decision Changes**

*If there are any changes in the Arizona Corporation Commission decision, a conference call will be scheduled for no later than April 1, 1999.*

## **CERTIFICATE OF SERVICE**

I, Vivian Lee, do hereby certify that copies of the foregoing Emergency Joint Petition for Suspension of Phoenix Area Code Relief Plan or, in the Alternative, Other Relief of MCI WorldCom, Inc. were sent via first class mail, postage paid, to the following on this 1st day of April, 1999.

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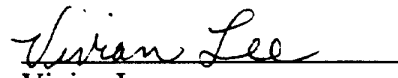
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**Attachment III**  
**Implementing Unassigned Number Porting**

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# MCI WorldCom:

## Implementing Unassigned Number Porting

In the most basic approach to unassigned number porting (UNP), the service provider's (SP's) sales representative determines that a customer requires numbers that are not available from the SP's own inventory of spare numbers for the customer's serving switch. The sales person requests that spare telephone numbers (TNs) from another switch be ported to meet the customer's need. Usually, this will involve a request for spare numbers from another service provider.

To accomplish unassigned number porting, a few basic criteria must be met.

There must be an unambiguous source of the desired spare numbers since, in UNP's most basic form, there is no neutral third-party administrator to determine which of several possible donor candidates will be asked to transfer its spare numbers. Only spare TNs which have a single possible source can be transferred in the first stage of UNP implementation. Even in those cases where there are multiple potential donors but there is no customer to make the NXX selection, UNP can be utilized without a third party administrator if inter-company agreements exist which describe the donor selection process.

The switches involved in the spare number transfer must be LNP-capable and open to portability. Mechanically, the inter-SP process appears virtually identical to that used today to port a customer's working and reserved numbers. That is, it appears that an LSR could be sent with the description of the numbers needed and the FOC returned could indicate which spare numbers were selected for transfer.

The following outline describes the phases in which unassigned number porting can be implemented.

### UNP Implementation - Phase 1

- **Use current LSR<sup>1</sup> and FOC<sup>2</sup> process:**
  1. Customer requests other SP's TNs; provides LOA
  2. SP-A sends LSR with desired TNs characteristics (i.e., NXX, particular TNs)
  3. SP-B sends FOC – listing TNs offered [in Remarks]
  4. SP-A sends Create message to NPAC
  5. SP-B sends Create (i.e., concurrence) message to NPAC
  6. SP-A activates TNs in its network and at NPAC
  7. SP-A assigns TNs to its customer
- **Limit each request to a single, non-pooled NPA-NXX.<sup>3</sup>**
- **Request TNs only for specific ported customer need.<sup>4</sup>**
- **Request TNs only for specific new customer need.<sup>5</sup>**

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<sup>1</sup>

<sup>2</sup> The TNs meeting the characteristics described on the LSR are selected by the donor SP and are listed on its FOC response to the LSR

<sup>3</sup> As long as a single provider is the possible source for a spare number, there is no need for a neutral third-party entity to spread TN requests across multiple possible donors, to assure that no single provider is asked to transfer a disproportionate share of its spare numbers.

<sup>4</sup> A ported customer may bring non-working but reserved numbers with him when he ports, but may fail to bring a sufficient quantity of reserved numbers to handle growth. Eventually, he may require more TNs from his NXX than were originally ported over for his use.



## **UNP Implementation - Phase IA**

- **Use for limited carrier footprint needs for numbers (e.g., up to 25 TNs)**
- **Avoids need to assign whole NXX or even a block (NXX-X)**
- **Use when only one LERG assignee serves the rate area**

## **UNP Implementation - Phase IAA**

- **Some quantity of carriers do not have NXX codes for the particular rate area**
- **Multiple LERG assignees serve the rate area**
- **Few numbers expected to be required**
- **If no customer exists, donor selection based on inter-company agreements defining donor selection process**
- **Customer would select NXX for service based on available donor NXXs**

## **UNP Implementation - Phase II**

- **Appoint a neutral, third-party UNP Administrator.<sup>5</sup>**
- **Expand requests to allow specification by rate-area or NPA+rate area, and to include pooled NXXs.<sup>7</sup>**

## **UNP Implementation - Phase III**

- **Modify SP TN administration systems as UNP volumes increase.**
- **Introduce mechanized processes between UNP administrator and the participating SPs**

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<sup>5</sup> A customer may have existing service with one SP that he wishes to maintain, when he decides to expand his service using another SP. If the customer wishes to expand his service using the same NXX as he uses with his current service, it is necessary to transfer non-working numbers from his current SP to the new SP to accomplish this.

<sup>6</sup> The requesting SP notifies the UNP Administrator whenever more than one SP could be the source of the requested TNs. The UNPA determines which donor SP should respond to each request in order to fairly allocate TN inventory transfers. The UNP refers the requesting SP to the selected donor SP. The requesting SP sends its LSR to donor SP.

<sup>7</sup> The LSR is not submitted until the donor SP is known; TN characteristics specified on the LSR are limited to those TNs available from the donor SP selected.